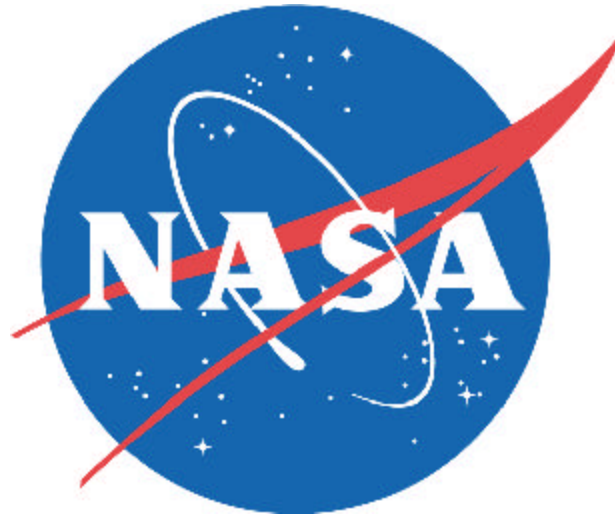


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**Subject: Internal Quality Audits**

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## HEADQUARTERS COMMON PROCESS

# INTERNAL QUALITY AUDITS

Approved by

2/5/02

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Daniel R. Mulville  
Associate Deputy Administrator

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Date

Responsible Office: JI/ISO 9001 Program Office  
Subject: Internal Quality Audits

## DOCUMENT HISTORY LOG

| Status<br>(Baseline/<br>Revision/<br>Canceled) | Document<br>Revision | Effective<br>Date   | Description   |
|--|----------------------|---------------------|---|
| Baseline                                       |                      | January 15,<br>1999 |   |
| Revision                                       | A                    | April 28, 1999      | Revisions resulted from DNV Preregistration Audit nonconformances and ISO Project Office comments to improve the clarity and readability of the document. The changes do not materially impact the intent or usage of this HCP. For details, please see "HPC 1280-3, Internal Quality Audits Comment Disposition, Robert D. Kovach – 3/24/99".  |
| Admin<br>Change                                | A                    | March 14,<br>2000   | Administrative change. Changed responsible from Code R to Code B due to the ISO Project Office being reassigned.  |
| Admin<br>Change                                | A                    | October 29,<br>2000 | Administrative change. Changed Responsible Office from Code B to Code J due to the ISO Project Office being reassigned.   |
| Revision                                       | B                    | February 5,<br>2002 | Revisions were made to incorporate minor changes in the internal audit process identified while implementing the process and to comply with the ISO 9000:2000 Standard. Changes include deleting process steps to streamline the process, removing several appendices and making them electronic NASA HQ forms, adding the definitions for Audited Entity in Paragraph 3.3 and Audited Entity Representative in Paragraph 3.5 and modifying the definition for Internal Audit in Paragraph 3.8, creating the Internal Quality Audit Critique Report in Paragraph 6.16, deleting the reference to NPG 1441.1 Records Retention Schedules in Paragraph 4.1 and deleting the reference to HCP 1280-2, Corrective and Preventive Action in Paragraph 6.17, and making flowchart changes to correctly depict the process flow and to comply with the Headquarters document and data control HCP. |
|  |                      |                     |   |
|  |                      |                     |   |
|  |                      |                     |   |

## 1. Purpose

This NASA Headquarters Common Process (HCP) describes the process for organizing and conducting Headquarters ISO 9001 internal quality audits. The purpose of internal quality audits is to verify whether quality activities and related results comply with the quality system and to determine the effectiveness of the quality system.

## 2. Scope And Applicability

2.1 Scope This HCP identifies the responsible entities for staffing, planning, and conducting internal audits. Internal audits encompass all activities, processes, and documents that form a part of the NASA Headquarters Quality Program necessary to comply with the "Headquarters Quality System Manual, HQSM 1200-1".

### 2.2 Applicability

This HCP applies only to NASA Headquarters.

## 3. Definitions

- 3.1 Audit Manager (AM). The AM or his/her designated alternate is responsible for and has the authority for implementing, managing, maintaining, and reporting on the performance of the internal quality audit system. The AM shall complete a Lead Assessor course and be granted organizational authority to manage Headquarters ISO 9001 internal quality audits.
- 3.2 Audit Plan. Provides the audit scope, the audit time and date, the audited entity, the auditor's names and assignments, the Point of Contact (POC) name, and the Audited Entity Representative for each audit. The Audit Plan, NHQ Form 278, is available at: <ftp://ftp.hq.nasa.gov/forms/form/nhq278.itp>.
- 3.3 Audited Entity. The focus of an audit. Audited Entities may include, but are not limited to, processes and subprocesses, documents, and organizations.

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- 3.4 Audited Entity Management. The manager or designee who shall sign the Internal Quality Audit Summary Report (NHQ Form 274, URL <ftp://ftp.hq.nasa.gov/forms/form/nhq274.itp>)
- 3.5 Audited Entity Representative. The person representing the audited entity for an audit.
- 3.6 Auditor (AT). An individual qualified through training to perform a quality audit. The AT shall complete an Internal Auditor course or Lead Assessor course. AT's may be NASA employees or qualified contractors.
- 3.7 Escort. An audited entity management representative who may accompany the auditor during an audit. This individual provides access to physical areas and witnesses or is informed of potential nonconformances.
- 3.8 Internal Audit. A systematic and independent examination performed by a qualified NASA Headquarters employee or contractor to verify whether quality activities and related results comply with the quality system and to determine the effectiveness of the quality system.
- 3.9 Lead Auditor (LA). An individual qualified through training to organize and oversee an internal audit and report nonconformances. The LA shall complete an Internal Auditor course or Lead Assessor course. The LA may be a NASA employee or a qualified contractor.
- 3.10 Nonconformance. Nonfulfillment of a specified quality system requirement.
- 3.10.1 Major Nonconformance. A systemic breakdown of the Quality System that impacts ability to produce a product or service or impacts quality management system processes.
- 3.10.2 Minor Nonconformance. A nonsystemic breakdown that can have an indirect, lower order, adverse impact on the quality of a product or service.
- 3.11 Observation. A finding that may lead to a nonconformance. Based on an analysis by the AM, related Observations may be elevated to a Nonconformance. All Observations will be forwarded to the Corrective and Preventive Action System Manager.
- 3.12 Objective Evidence. Qualitative or quantitative information, records, or

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statements of fact pertaining to the quality of a process or product or to the existence and implementation of a quality system clause that is based on observation, measurement, or test and can be verified.

3.13      Point of Contact. An Audited Entity's contact person.

3.14      Abbreviations.

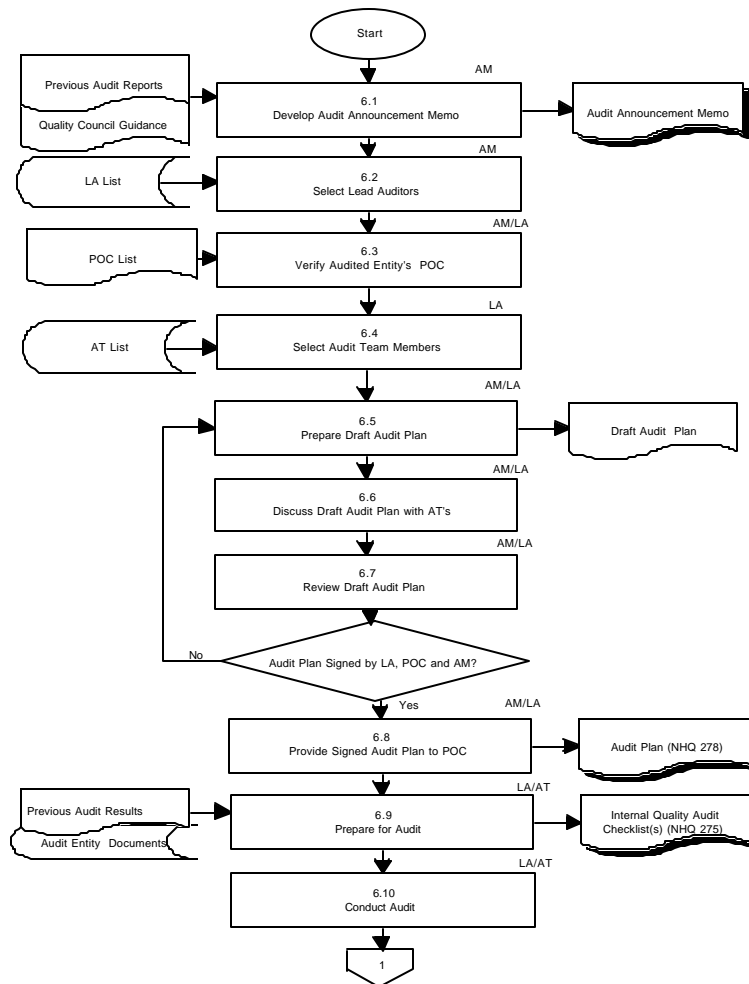
|     |                             |
|-----|-----------------------------|
| AM  | Audit Manager               |
| AT  | Auditor                     |
| HCP | Headquarters Common Process |
| LA  | Lead Auditor                |
| NCR | Nonconformance Report       |
| OWI | Office Work Instruction     |
| POC | Point of Contact            |

#### 4. References

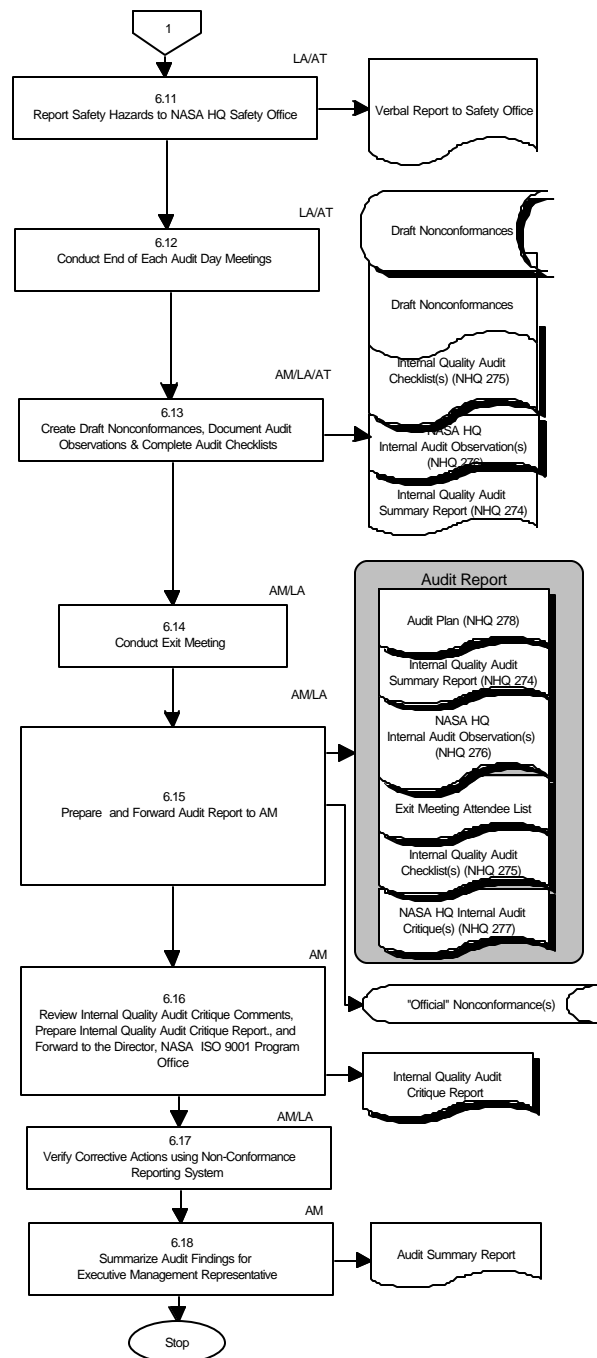
None

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## 5. Flowchart



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## 6. Procedure

| <u>Number</u> | <u>Actionee</u> | <u>Action</u>   |
|---------------|-----------------|---|
| 6.1           | AM              | <p>Draft an audit announcement memo for the Executive Management Representative to send to NASA Headquarters Officials-In-Charge. The memo will identify audit scope, audit dates and the Auditors. Audits will be scheduled at least every 6 months. Audit focus will be based on the results of internal and external audits and any Quality Council guidance.</p> <p>Forward the memo to the Executive Management Representative for distribution.</p>   |
| 6.2           | AM              | <p>Select LA's to oversee audits. LA's shall be assigned to the audit for the duration of the audit and its related activities. LA's shall be assigned in sufficient time to prepare for the audit.</p>   |
| 6.3           | AM/LA           | <p>Verify audited entity POC's.</p>   |
| 6.4           | LA              | <p>Work with AM to select AT's who will conduct the audit. LA shall contact AT's to ensure that they will be able to commit to the audit.</p>   |
| 6.5           | AM/LA           | <p>Prepare draft Audit Plan, (NHQ Form 278, URL <a href="ftp://ftp.hq.nasa.gov/forms/form/nhq278.itp">ftp://ftp.hq.nasa.gov/forms/form/nhq278.itp</a>). The plan shall be flexible in order to permit changes in emphasis based on information gathered during the audit and to permit effective use of resources. The plan shall include the following:</p> <ul style="list-style-type: none"><li>• The audit scope</li><li>• The audit time and date.</li><li>• The audited entity(s).</li><li>• The auditor(s) and assignments.</li><li>• The POC's name.</li><li>• The Audited Entity Representative.</li></ul> |
| 6.6           | AM/LA           | <p>Discuss draft Audit Plan with AT's.</p> <ul style="list-style-type: none"><li>• Discuss the audit scope.</li><li>• Review general audit techniques and conduct.</li><li>• Review and discuss the documents to be audited.</li><li>• Confirm audit assignments.</li><li>• Distribute Internal Quality Audit Checklist forms (NHQ Form 275, URL <a href="ftp://ftp.hq.nasa.gov/forms/form/nhq275.itp">ftp://ftp.hq.nasa.gov/forms/form/nhq275.itp</a>) to each team member to tailor for each audit.</li></ul>   |



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|------|---------------|--|
| 6.7  | AM/LA/<br>POC | Review Draft Audit Plan. <ul style="list-style-type: none"><li>• LA and POC's review Draft Audit Plan, modify as necessary and sign.</li><li>• LA sends Audit Plan to the AM to sign, incorporates any AM changes, and coordinates changes with applicable POC's.</li></ul>  |
| 6.8  | AM/LA         | Provide a copy of the signed Audit Plan to the applicable POC's.   |
| 6.9  | LA/AT         | Prepare for Audit. <ul style="list-style-type: none"><li>• Review audited entity documentation applicable to the audit.</li><li>• Review and tailor Internal Quality Audit Checklists for each audit.</li><li>• Finalize audited entity representative(s), scribe and escort with appropriate POC.</li></ul>   |
| 6.10 | LA/AT         | Conduct the Audit.   |
| 6.11 | LA/AT         | During the audit, report any safety hazards to the NASA Headquarters Safety Office.  |
| 6.12 | LA/AT         | Conduct daily end-of-day meeting(s) to discuss audit activity and results.   |
| 6.13 | AM/LA/<br>AT  | Complete and sign Internal Quality Audit Checklists.<br>Create draft nonconformances in the automated Nonconformance Report (NCR) System at <a href="http://hqiso9000.hq.nasa.gov/ncr.htm">http://hqiso9000.hq.nasa.gov/ncr.htm</a> . The AM, with LA and AT recommendations, shall determine if the draft nonconformance is a Major or Minor Nonconformance.<br>Document audit observations on a NASA HQ Internal Audit Observation form, (NHQ Form 276, URL <a href="ftp://ftp.hq.nasa.gov/forms/form/nhq276.itp">ftp://ftp.hq.nasa.gov/forms/form/nhq276.itp</a> ).<br>Print draft NCR's and observations.<br>Complete, print and LA signs the Internal Quality Audit Summary Report (NHQ Form 274, URL <a href="ftp://ftp.hq.nasa.gov/forms/form/nhq274.itp">ftp://ftp.hq.nasa.gov/forms/form/nhq274.itp</a> ) |
| 6.14 | AM/LA         | Conduct exit meeting with Audited Entity Management. <ul style="list-style-type: none"><li>• Discuss audit results.</li><li>• Provide the Internal Quality Audit Summary Report to Audited</li></ul>   |

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- Entity Management to sign.
  - Provide the NASA Headquarters Internal Quality Audit Critique form (NHQ Form 277, URL <ftp://ftp.hq.nasa.gov/forms/form/nhq277.itp>) to the audited entity POC to complete/return to the AM.
  - Record names of exit meeting attendees on an attendee list and file list with the Audit Report.
- 6.15            AM/LA        Prepare the Audit Report and forward to the AM or his/her designee. The report shall contain the following items as applicable:
- Audit Plan(s)
  - The signed Internal Quality Audit Summary Report(s)
  - NASA HQ Internal Audit Observation(s)
  - The exit meeting attendee list
  - Internal Quality Audit Checklists
  - NASA Headquarters Internal Audit Critique forms
- AM reviews draft NCR(s) for content and creates an "Official" NCR(s) in the automated NCR System.
- 6.16            AM            Review NASA HQ Internal Audit Critique comments and recommendations. Prepare Internal Quality Audit Critique Report and forward to the Director, NASA ISO 9001 Program Office.
- 6.17            AM/LA        Verify completed corrective actions using the Nonconformance Reporting System available at <http://hqiso9000.hq.nasa.gov/ncr.htm>
- 6.18            AM            Summarize audit findings for Executive Management Representative to present at next Quality Council Meeting.

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## 7. Quality Records

| RECORD IDENTIFICATION                           | OWNER | LOCATION  | MEDIA: ELECTRONIC OR HARD COPY | SCHEDULE NUMBER AND ITEM NUMBER (NPG 1441.1) | RETENTION/ DISPOSITION  |
|---|-------|---|--------------------------------|--|---|
| Audit Announcement Memo                         | AM    | AM  | Hard Copy                      | Schedule 5 Item 30, B.                       | Close file at end of survey/ audit at end of fiscal year. Destroy when 9 years old. |
| Audit Plan (NHQ 278)                            | AM    | AM  | Hard Copy                      | "  | "   |
| Internal Quality Audit Checklist(s) (NHQ 275)   | AM    | AM  | Hard Copy                      | "  | "   |
| Draft Nonconformances                           | AM    | <a href="http://hqiso9000.hq.nasa.gov/ncr.htm">http://hqiso9000.hq.nasa.gov/ncr.htm</a> | Electronic                     | "  | "   |
| NASA HQ Internal Audit Observation(s) (NHQ 276) | AM    | AM  | Hard Copy                      | "  | "   |
| Internal Quality Audit Summary Report (NHQ 274) | AM    | AM  | Hard Copy                      | "  | "   |
| Exit Meeting Attendee List                      | AM    | AM  | Hard Copy                      | "  | "   |
| NASA HQ Internal Audit Critique forms (NHQ 277) | AM    | AM  | Hard Copy                      | "  | "   |
| Internal Quality Audit Critique Report          | AM    | AM  | Hard Copy                      | "  | "   |